

# TRANSMITTAL FORM

JUN 24 1999  
PATENT & TRADEMARK OFFICE

Application Serial Number	09/256,156
Filing Date	February 24, 1999
First Named Inventor	Gillies
Group Art Unit	1643
Examiner Name	Not Yet Assigned
Attorney Docket No.	LEX-003

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form <input type="checkbox"/> Amendment/Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____] <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Information Disclosure Statement Form PTO-1449 <input type="checkbox"/> Copies of IDS Citations <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553) <input type="checkbox"/> Formal Drawing(s) <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers) <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund <input type="checkbox"/> After Allowance Communication to Group	<input type="checkbox"/> Appeal Communication to Board of Patent Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8 <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below) Copy of Form PTO-1661 Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures (1 pg.) Sequence Listing (8 pgs.) Computer Readable Copy of Sequence Submission Statement Verifying Identity of Sequence Submission Copies (2 pgs.)
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## CORRESPONDENCE ADDRESS

Direct all correspondence to: Patent Administrator  
 Testa, Hurwitz & Thibault, LLP  
 High Street Tower  
 125 High Street  
 Boston, MA 02110  
 Tel. No.: (617) 248-7000  
 Fax No.: (617) 248-7100

waller4006/14.797978-1

## SIGNATURE BLOCK

Date: June 21, 1999  
 Reg. No. 41,418  
 Tel. No.: (617) 248-7240  
 Fax No.: (617) 248-7100

Respectfully submitted,

*Patrick R. H. Waller*  
 Patrick R.H. Waller, Ph.D.  
 Agent for Applicant(s)  
 Testa, Hurwitz & Thibault, LLP  
 High Street Tower  
 125 High Street  
 Boston, MA 02110

# FEE TRANSMITTAL

Note: Effective October 1, 1997.  
Patent fees are subject to annual revision

Complete if Known

Application Serial Number	09/256,156
Filing Date	February 24, 1999
First Named Inventor	Gillies
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Attorney Docket No.	LEX-003

## METHOD OF PAYMENT

1. ☒ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other

2. ☒ The Commissioner is hereby authorized to credit or charge any fee indicated below to Deposit Account No. 20-0531.  
☐ Required Fees (copy of this sheet enclosed)  
☒ Additional fee required under 37 CFR 1.17.  
☒ Overpayment Credit.

## FEE CALCULATION

### 1. FILING FEE

#### Large Entity

Fee (\$)	Fee Description	Fee Paid
760	Utility filing fee	
310	Design filing fee	
150	Provisional filing fee	

Number Filed	Number Extra	Rate	Amount
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Total Claims - 20 = x \$ 18.00 =

Independent Claims - 3 = x \$ 78.00 =

☐ Multiple Dependent Claim(s), if any \$260.00 =

TOTAL:  
SMALL ENTITY DISCOUNT:

SUBTOTAL (1) (\$)

### 2. AMENDMENT CLAIM FEES

Claims Remaining After Amend.	Highest No. Previously Paid For	Present Extra	Rate	Fee Paid
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Total - = x \$ 18.00 =

Indep. - = x \$ 78.00 =

☐ First Presentation of Multiple Dep. Claim + \$260.00 =

TOTAL: (\$)  
SMALL ENTITY DISCOUNT: (\$)  
SUBTOTAL (2) (\$)

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
30	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or	
130	130	Non-English specification	
2,520	2,520	For filing a request for reexamination	
110	55	Extension for reply within first month	\$ 110.00
380	190	Extension for reply within second month	
870	435	Extension for reply within third month	
1,360	680	Extension for reply within fourth month	
1,850	925	Extension for reply within fifth month	
300	150	Notice of Appeal	
300	150	Filing a brief in support of an appeal	
260	130	Request for oral hearing	
130	130	Petitions to the Commissioner	
50	50	Petitions related to provisional applications	
240	240	Submission of Information Disclosure Statement (37 CFR 1.97(c))	
130	130	Submission of Information Disclosure Statement (37 CFR 1.97(d))	
760	380	Filing a submission after final rejection (37 CFR 1.129(a))	
760	380	For each additional invention to be examined (37 CFR 1.129(b))	
		Other (Specify)	

SUBTOTAL (3) (\$ 110.00)

SUBTOTAL (1) 0.00

SUBTOTAL (2) 0.00

SUBTOTAL (3) 110.00

TOTAL \$ 110.00

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Patent Administrator  
Testa, Hurwitz & Thibault, LLP  
High Street Tower  
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Tel. No.: (617) 248-7000  
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Respectfully submitted,

*Patrick R.H. Waller*  
Patrick R.H. Waller, Ph.D.  
Agent for Applicants  
Testa, Hurwitz & Thibault, LLP  
High Street Tower  
125 High Street  
Boston, MA 02110



UNITED STATES DEPARTMENT OF COMMERCE  
**Patent and Trademark Office**  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/256,156 02/24/99 GILLIES S LEX-003

021323 0242/0421  
TESTA HURWITZ & THIBEAULT  
HIGH STREET TOWER  
125 HIGH STREET  
BOSTON MA 02110

NOT ASSIGNED

1643

DATE MAILED:

04/21/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☒ small entity (statement filed) ☐ non-small entity is \$ 1600.00.

☒ 1. The statutory basic filing fee is:

- ☒ missing.  
☐ insufficient.

Applicant must submit \$ 760.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 432.00 for 24 total claims over 20.

\$ 78.00 for 1 independent claims over 3.

\$ 200.00 for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

P. Nelson  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARK  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/256,156

02/24/99

GILLIES

S

LEX-003

021323

TESTA HURWITZ & THIBEAULT  
HIGH STREET TOWER  
125 HIGH STREET  
BOSTON MA 02110

0242/0421

NOT ASSIGNED

1643

DATE MAILED:

04/21/99

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821 - 1.825 for the following reason(s):

- ☐ 1. This application fails to comply with the requirements of 37 CFR 1.821 - 1.825.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 CFR 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).
- ☒ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ 7. OTHER: \_\_\_\_\_

**APPLICANT MUST PROVIDE:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing."
- ☐ An initial or substitute paper copy of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

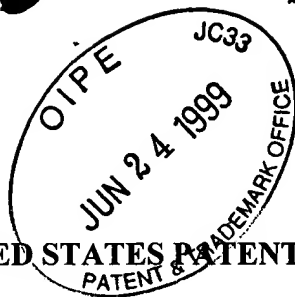
**FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE CONTACT:**

- ☐ For Rules Interpretation, call (703) 308-1123.
- ☐ For CRF submission help, call (703) 308-4212.
- ☐ For PatentIn software help, call (703) 308-6856.

*R. Nelson*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



PATENT  
Attorney Docket No. LEX-003  
(4006/14)

20116438/Boy W/D  
Seq.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Gillies et al.  
SERIAL NO.: 09/256,156 GROUP NO.: 1643  
FILING DATE: February 24, 1999 EXAMINER: Not Yet Assigned  
TITLE: Enhancing the Circulating Half Life of Antibody-Based Fusion Proteins

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on this 21st day of June, 1999.

  
Rachel K. McLendon Kent

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith is/are:

Transmittal Form (1 pg.); Fee Transmittal Form (1 pg.); Petition for Extension of Time Under 37 CFR 1.136(a) (1 pg.); Copy of Form PTO-1661 Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures (1 pg.); Substitute Paper Copy of Sequence Listing (8 pgs.); Substitute Computer Readable Copy of Sequence Submission; Statement Verifying Identity of Sequence Submission Copies (2 pgs.); Return Mailroom Postcard; all mailed under a Certificate of First Class Mailing Under 37 C.F.R. 1.8 on June 21, 1999.

RECEIVED

JUN 29 1999

TECH CENTER 1600/2900

PATENT  
Attorney Docket No. LEX-003  
(4006/14)

#7/cp  
chk  
10/13-99

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Gillies et al.

SERIAL NO.: 09/256,156

GROUP NO.: 1643

FILING DATE: February 24, 1999

EXAMINER: Not Yet Assigned

TITLE: Enhancing the Circulating Half Life of Antibody-Based Fusion Proteins

Box SEQUENCE

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

SUBMISSION OF PAPER COPY AND/OR COMPUTER READABLE COPY  
OF SEQUENCE LISTING FOR INVENTION  
CONTAINING NUCLEOTIDE AND/OR AMINO ACID SEQUENCE

(check and complete this item, if applicable)

1. ☒ This replies to the Patent Office Letter dated April 21, 1999

Note: If these papers are filed before the office letter issues adequate identification of the original papers should be made, e.g., in addition to the name of the inventor and title of invention, the filing date based on the "Express Mail" procedure, the serial number from the return post card or the attorney's docket number added.

- ☒ A copy of the Patent Office Letter is enclosed.

2. Submitted herewith is/are

(check each item as applicable)

- A. ☒ a substitute paper copy of the Sequence Listing for this application with each sequence assigned a separate identifier.
- B. ☒ a substitute copy, in computer readable form, of the Sequence Listing for this application.

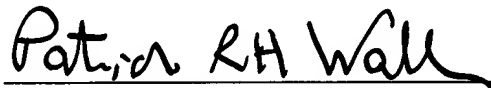
**STATEMENT**

3. I hereby state that:

(complete applicable items A, B and/or C)

- A. ☒ the content of the paper and computer readable copies submitted herewith are the same.
- B. ☐ the content of the computer readable copy submitted herewith is the same as the Sequence Listing appearing on pages \_\_ to \_\_ of the original specification as filed.
- C. ☒ this submission includes no new matter.

Respectfully submitted,



Patrick R.H. Waller, Ph.D.

Agent for Applicant(s)

Testa, Hurwitz, & Thibault, LLP

High Street Tower

125 High Street

Boston, Massachusetts 02110

Date: June 21, 1999

Reg. No. 41,418

Tel. No.: (617) 248-7240

Fax No.: (617) 248-7100